APPENDIX E
SURVEILLANCE ACTIVITIES TABLE

E-1.   General. The following appendix provides: (1) instructions for documenting surveillance activities; and (2) a sample Surveillance Activities Table. The sample Surveillance Activities Table was completed for a particular project and is provided for informational purposes only and shall be modified for project-specific needs.

E-2.   Instructions for Documenting Surveillance Activities Table.

    a.   **General.** The Surveillance Activities Table is used to document the project delivery team's QA activities. Results of these government activities fulfill two primary functions:

    (1)   Assures that project objectives have been met, and

    (2)   Supports annual and/or closeout contractor performance ratings in the PPIMS.

    b.   **Column 1 - Definable Feature of Work**. Definable features of work are those products or processes that can be identified as having results that can be measured. For the purposes of QA Surveillance activities, only those definable features of work that impact the overall quality or safety of the project should be included.

    c.   **Column 2 - Reference** - Contract/Task Order requirement or other applicable reference that requires the stated Definable Feature of Work from Column 1.

    d.   **Column 3 - Method of Surveillance** - Common accepted surveillance methods are:

    (1)   Random Sampling: Random Sampling is a statistically based method that assumes receipt of acceptable performance if a given percentage or number of scheduled surveillance activities have found the product or service to be acceptable. If performance is considered marginal or unsatisfactory, the project team should document the discrepancy or finding on a Corrective Action Request (CAR). If performance is satisfactory, very good, or exceptional, the project team should consider adjusting the sample size or sampling frequency. Random sampling is the most appropriate method for frequently recurring tasks. It works best when the number of instances is very large and a statistically valid sample can be obtained.

    (2)   Periodic Inspection - Periodic inspection (i.e., Weekly, Monthly, Quarterly, etc.) consists of the evaluation of tasks selected on other than a 100% or random basis. It may be appropriate for tasks that occur infrequently, and where 100% inspection is neither required nor practicable. A predetermined plan for inspecting part of the work is established using subjective judgment and analysis of agency resources to decide what work to inspect and how frequently to inspect it. Selecting this tool to determine a contractor's compliance with contract requirements

can be quite effective and it allows for assessing confidence in the contractor without consuming a significant amount of time.

(3)   100 Percent Inspection - This is usually the most appropriate method only for infrequent tasks or tasks with stringent performance requirements. With this method, performance is inspected/evaluated at each occurrence. The cost-benefit of one hundred percent inspection should be considered prior to its implementation.

(4)   Customer Feedback - Customer feedback is firsthand information from the actual users of the service or product. It should be used to supplement other forms of evaluation and assessment, and it is especially useful for those areas that do not lend themselves to the typical forms of surveillance. However, customer feedback information should be used prudently. Sometimes customer feedback is complaint-oriented, likely to be subjective in nature, and may not always relate to actual requirements of the contract. Such information requires thorough validation.

(5)   Third-party Audits - The term "third-party audits" refers to a contractor evaluation made by a third-party organization that is independent of the government and the contractor. All documentation supplied to, and produced by, the third party should be made available to both the government and the contractor.

e.   **Column 4 - Documentation of Surveillance Activities Performed**. Identify the document(s) to be used by the project team to record that specified surveillance activities have been performed and describe the results of those surveillance activities.

f.   **Column 5 - QA Surveillance Record File.** Identify where the Quality Assurance Reports (or other documentation, from Column 4) are filed by the project team. The preferred method is to have a central location or file for all QA Surveillance documentation, but if multiple files/locations (i.e., project team members) will be used, identify them in this column.

g.   **Column 6 - PPIMS Performance Assessment Record (PAR) Category.** This column is used to identify the PAR category under which the associated Definable Feature of Work will be rated. More than one PAR Category may apply to a given Definable Feature of Work. PAR Categories may include, but are not limited to:

(1)   *Quality of Product or Service* - Assess the contractor's conformance to contract requirements, specifications and standards of good workmanship (e.g., commonly accepted technical or professional standards).

(2)   *Schedule* - Assess the timeliness of the contractor against the completion of the contract, task orders, milestones, delivery schedules, administrative requirements, etc. Assess the contractor's adherence to the required delivery schedule by assessing his/her efforts during the assessment period that contribute to or effect the schedule variance.

(3)   *Cost Control* - Assess the contractor's effectiveness in forecasting, managing, and controlling contract cost. Assess for all contracts except Firm Fixed Price (FFP) or Firm Fixed Price with Economic Price Adjustment contracts.

(4)   *Business Relations* - Assess the timeliness, completeness, and quality of problem identification, corrective action plans, proposal submittals, the contractor's history of reasonable and cooperative behavior, and customer satisfaction. Assess the contractor's success with timely award and management of subcontracts, including whether the contractor met small/small disadvantaged and women-owned business participation goals. Assess the extent to which the contractor discharges its responsibility for integration and coordination for all activity needed to execute the contract.

(5)   *Management of Key Personnel* - (For Services and Information Technology Business Sectors Only) - Assess the contractor's performance in selecting, retaining, supporting, and replacing, when necessary, key personnel.

(6)   *Safety*- Assess any elements not covered in this section or provide additional comments on the contractor's overall performance level. For MMRP projects, this is where Safety is rated. Assess the contractor's adherence to approved safety plans, explosives/chemical agent safety requirements, and ability to prevent safety related incidents/accidents.

h.   **Column 7 - Basic Performance Indicators.** Performance indicators are the standards and measures by which the project delivery team determines acceptability of contractor performance regarding the associated Definable Feature of Work (Column 1). For example: If "Draft Plans and Reports" is the Definable Feature of Work, then Basic Performance Indicators might be "Plans and Reports are concise and technically accurate, plans are in accordance with applicable regulations, reports are logical and support subsequent decisions." The associated Performance Metric when rating contractor performance might be related to the number and seriousness of comments generated and/or the need for subsequent government reviews.

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Table E-1. Surveillance Activities Table

(1) Definable Feature of Work (Product or Process being Rated) (*Each Definable Feature of Work should have at least one corresponding metric associated with it.*)	(2) Reference (*Self explanatory*)	(3) Method of Surveillance (*100%, Random Sampling, Periodic- (i.e., Weekly, Monthly, Quarterly etc.,)*)	(4) Documentation of Surveillance Activities Performed (Objective Evidence) (*Identify what documentation will be generated as evidence that surveillance activities were conducted*)	(5) QA Surveillance Record File (*e.g. CARs in Contract file, Form-7 comments in PM file, QARs in project engineer files, etc.*)	(6) PPIMS Performance Assessment Record (PAR) Category (*One or more categories may apply, but each definable feature of work, Column 1, must be directly linked to at least one Performance Metric*)	(7) Basic Performance Indicator(s) (*To be used as the basis for contractor ratings described in the performance metrics when completing the Contractor Performance Assessment Record (PAR) in PPIMS*)
Project Documents/Submittals						
1. Draft Work Plan 2. Draft Final Report 3. Draft Explosives Safety Submissions	T.O. para 3.2	100% review of submitted documents.	CEHNC Form 7, Contracting Officer Transmittal Memo	Official Contract File	Quality of Product or Service	Resubmissions required based on amount and nature of government comments regarding formatting, completeness, technical accuracy, regulatory compliance, conciseness, decisions supported by data.
Work Plan Execution						
Technical Management Plan	T.O. para. 4.2	Periodic Inspection (Monthly)	Trip Reports, Geophysical QA Report, QAR, Corrective Action Requests (CAR)	Project Engineer and PM Project file	1. Quality Of Product or Service. 2. Management of Key Personnel and Resources	Number and type of Corrective Actions required based on government observation regarding: 1. Compliance with approved plans, personnel knowledgeable and effective regarding their responsibilities, 2. Personnel meeting position qualifications and resources managed efficiently.
Explosives Management Plan	DOD 6055.9-STD, EP 385-1-95	Periodic Inspection (Monthly)	QARs, CARs	Project Safety Specialist file	1. Safety 2. Quality of Product or Service.	Number of violations and/or accidents and incidents regarding contractor lack of: 1. Compliance with explosives safety

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(1) **Definable Feature of Work** **(Product or Process being Rated)** *(Each Definable Feature of Work should have at least one corresponding metric associated with it.)*	(2) **Reference** *(Self explanatory)*	(3) **Method of Surveillance** *(100%, Random Sampling, Periodic-(i.e., Weekly, Monthly, Quarterly etc.,)*	(4) **Documentation of Surveillance Activities Performed** **(Objective Evidence)** *(Identify what documentation will be generated as evidence that surveillance activities were conducted)*	(5) **QA Surveillance Record File** *(e.g. CARs in Contract file, Form-7 comments in PM file, QARs in project engineer files, etc.)*	(6) **PPIMS Performance Assessment Record (PAR) Category** *(One or more categories may apply, but each definable feature of work, Column 1, must be directly linked to at least one Performance Metric)*	(7) **Basic Performance Indicator(s)** *(To be used as the basis for contractor ratings described in the performance metrics when completing the Contractor Performance Assessment Record (PAR) in PPIMS)*
					3. Management of Key Personnel and Resources.	requirements, OSHA requirements. 2. Personnel knowledgeable and practicing safe behavior. 3. Personnel meeting position qualifications and resources being managed efficiently.
Quality Control Plan (QC Reports)	T.O. para. 5.3 and Work Plan Chapter 11	1. GIS-Periodic Inspection	1. Trip Report, CARs, QA Checklist	1. Project GIS manager file	1. Quality of Product or Service.	Number and type of QC and/or QA failures observed or uncorrected regarding: 1. Reporting examples: Line types, symbology, geodatabase integrity.
		2. Geodetic Surveying-100% Inspection of QC reports for all submittals	2. Trip Report, CARs, QA Checklist	2. Project Surveyor file	2. Quality of Product or Service.	2. Reporting examples: Loop closures, re-occupations, reporting coordinate systems, datums, units & delivery of data collector files.
		3. Geophysical data collection and processing and anomaly reacquisition-100% inspection of	3. CARs, QA Checklist, Geophysical QA Report	3. Project Geophysicist file	3. Quality of Product or Service.	3. Meeting Project DQOs regarding: noise limits, speed limits, processing SNR compliance, appropriate data density & data coverage, blind seed item detections, anomaly reacquisition tolerances, etc.

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(1) **Definable Feature of Work** **(Product or Process being Rated)** *(Each Definable Feature of Work should have at least one corresponding metric associated with it.)*	(2) **Reference** *(Self explanatory)*	(3) **Method of Surveillance** *(100%, Random Sampling, Periodic-(i.e., Weekly, Monthly, Quarterly etc.,)*	(4) **Documentation of Surveillance Activities Performed** **(Objective Evidence)** *(Identify what documentation will be generated as evidence that surveillance activities were conducted)*	(5) **QA Surveillance Record File** *(e.g. CARs in Contract file, Form-7 comments in PM file, QARs in project engineer files, etc.)*	(6) **PPIMS Performance Assessment Record (PAR) Category** *(One or more categories may apply, but each definable feature of work, Column 1, must be directly linked to at least one Performance Metric)*	(7) **Basic Performance Indicator(s)** *(To be used as the basis for contractor ratings described in the performance metrics when completing the Contractor Performance Assessment Record (PAR) in PPIMS)*
		submitted QC reports for all data sets.				
		4. Environmental Sampling and Chemical Analysis data submittal-100% of each QC submittal.	4. QARs, CARs, QA Checklist	4. Project Chemist file	4. Quality of Product or Service.	4. Data submittals pass Automated Data Review. Meet project DQOs for sampling methods, data analyses and validation.
Explosives Siting Plan	ESS (appl. to removal/remedial actions), DOD 6055.9-STD, DA Pam 385-64 (appl. to active installations)	Periodic inspection of field operations (Monthly)	Trip Reports, QARs, CARs	Project Safety Specialist file	Safety	Number and type of violations regarding compliance with explosives safety requirements.
Geophysical Investigation Plan	T.O. para. 6.3 and work plan chapter 5	Periodic inspection of field operations (Monthly)	Trip Reports, Geophysical QA Report	Project Geophysicist file	1. Quality Of Product or Service. 2. Management of Key Personnel and Resources	Number and type of corrective action requests based on government observation regarding contractor: 1. Compliance with approved plans, personnel knowledgeable and effective regarding their responsibilities, 2. Personnel meet position qualification and resources managed efficiently.

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(1) **Definable Feature of Work** **(Product or Process being Rated)** *(Each Definable Feature of Work should have at least one corresponding metric associated with it.)*	(2) **Reference** *(Self explanatory)*	(3) **Method of Surveillance** *(100%, Random Sampling, Periodic-(i.e., Weekly, Monthly, Quarterly etc.,)*	(4) **Documentation of Surveillance Activities Performed** **(Objective Evidence)** *(Identify what documentation will be generated as evidence that surveillance activities were conducted)*	(5) **QA Surveillance Record File** *(e.g. CARs in Contract file, Form-7 comments in PM file, QARs in project engineer files, etc.)*	(6) **PPIMS Performance Assessment Record (PAR) Category** *(One or more categories may apply, but each definable feature of work, Column 1, must be directly linked to at least one Performance Metric)*	(7) **Basic Performance Indicator(s)** *(To be used as the basis for contractor ratings described in the performance metrics when completing the Contractor Performance Assessment Record (PAR) in PPIMS)*
Environmental Sampling and Chemical Analyses	Section C, Chapter 2, Sub-section 2.8, Chapter 4, Sub-section 4.5, T.O. para 3.2	Periodic Inspection (during sampling events) 100% review of all DID MR005-10 Section 1.4 submittals except the Chemistry Data Package. 5% review of the Chemistry Data Package	Trip reports, CARs, QARs, and/or statements of reviewed chemical data	Project Chemist file	Quality of Product or Service. Management of Key Personnel and Resources	Data submittals pass Automated Data Review. Meet project DQOs for sampling methods, data analyses and validation. Number and type of corrective action requests based on government observation regarding contractor: Compliance with approved plans, personnel knowledgeable and effective regarding their responsibilities. Personnel meet position qualification and resources managed efficiently.
Other Definable Features of Work to be included based on project objectives and project delivery team needs. **Cost/Schedule**						
Project Management: Cost and Schedule Control/Reporting	T.O. para. 6.6	100% of weekly status reports	PM checklist	PM file	1. Schedule 2. Cost Control	Number of instances of contractor impacts on cost and schedule attributable to the contractor, impacts not identified, and unauthorized cost overruns.

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Business Relations						
Meeting preparation and professional conduct		Customer Feedback	Email, letters, customer survey forms	PM file	1. Quality of Product or Service 2. Business Relations	Number of customer complaints regarding: 1. Personnel prepared and knowledgeable in areas of expertise. 2. Professional and ethical conduct.
Management of Key Personnel						
Project Management: Personnel		Periodic Inspection (Monthly, or upon change in personnel)	Trip report, QARs, CARs	Project Safety Specialist or PM file	Management of Key Personnel and Resources	Number of instances regarding contractor personnel and their qualifications for filling key positions/functions.

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